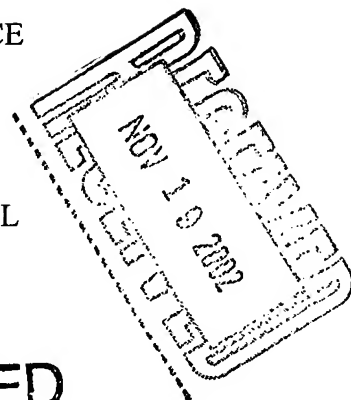


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ATTORNEY'S DOCKET NO. E0358/7003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Srinivasan  
Serial No: 10/010,767  
Filed: December 4, 2001  
For: SYSTEM AND METHOD FOR SYNDICATION OF FINANCIAL  
OBLIGATIONS  
Examiner: not yet known  
Art Unit: 2164  
Conf. No. 3017



COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

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NOV 14 2002  
**GROUP 3600**

Sir:

Transmitted herewith is/are the following document(s):

☒ Information Disclosure Statement, Form PTO-1449 and References

☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is enclosed. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

**CERTIFICATE OF MAILING UNDER 37  
C.F.R. §1.8(a)**

The undersigned hereby certifies that  
this document is being placed in the United  
States mail with first-class postage attached,  
addressed to Commissioner for Patents,  
Washington, D.C. 20231, on 11/5/02.

*Carol Ann M. Macey*

*Robert E. Hunt*  
Robert E. Hunt  
Reg. No. 39,231  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210-2211  
(617) 720-3500

Docket No. E0358/7003

November 5, 2002

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DOCKET NO: E0358/7003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Venkatesan Srinivasan  
Serial No: 10/010,767  
Confirmation No: 3017  
Filed: December 4, 2001  
For: SYSTEM AND METHODS FOR SYNDICATION OF  
FINANCIAL OBLIGATIONS

Examiner: Unknown  
Art Unit: 2164

**RECEIVED**  
NOV 14 2002  
**GROUP 3600**

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 5 day of November, 2002.

*Carol Ann Mahoney*

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Commissioner for Patents  
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

**PART II: Compliance with 37 CFR §1.704(d)**

[ ] Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application and this

PART III: Information Cited

A. ☒ The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

B. ☐ The Applicant hereby makes the following additional information of record in the above-identified application.

1. ☐ The above-identified U.S. application claims priority to application Serial No. PCT/USxx/xxxxx. If the Examiner has not had the benefit of review of the file history of PCT/Usxx/xxxxx, then he/she is asked to contact the undersigned, who will provide a copy of same.
2. ☐ The applicant would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

<u>Serial No.</u>	<u>Filing Date</u>	<u>Inventor(s)</u>
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**[NOTE TO PRACTITIONERS - Must provide a copy of any pending U.S. application, even if it was previously submitted to or cited by the U.S. Patent Office in an earlier application, unless the earlier application is identified herein and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]**

3. ☒ The Applicant would like to bring to the Examiner's attention the enclosed search report from a corresponding International or Foreign National Application.
4. ☐ The applicant would like to bring to the Examiner's attention the following other information, whose relevance is discussed in Part IV below:

PART IV: Explanation of Non-English Language References and Remarks Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

The following are remarks concerning the other information cited:

PART V: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

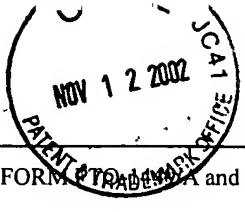
An early and favorable action is hereby requested.

Respectfully submitted,  
Venkatesan Srinivasan, *Applicant*

By: 

Robert E. Hunt, Reg. No. 39,231  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2211  
Telephone: (617) 720-3500

Docket No. E0358/7003  
Date: November 5, 2002  
**X11/04/02X**



FORM PTO-101 (A and B (Modified))  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				APPLICATION NO.: 10/010,767		ATTY. DOCKET NO.: E0358/7003	
				FILING DATE: December 4, 2001		CONFIRMATION NO.: 3017	
				APPLICANT: Venkatesan Srinivasan			
				GROUP ART UNIT: 2164		EXAMINER: Unknown	
Sheet	1	of	1				

#### U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		US2001/0054022	A1	Louie et al.	12-20-2001
		US2002/00400339	A1	Dhar et al.	04-04-2002
		6,360,210	B1	Wallman	03-19-2002

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#### FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			

#### OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		International Search Report for PCT/US01/47667 ✓	
		Gandy, T., "Bankers Trust has joined forces with IBM to develop new software to reduce risks in syndicated lending>" The Banker, May 1996, Vol. 146, No. 843, pp. 83-85	
		"Tech bytes: FleetBoston is Using Syndication System" American Banker, Dec. 3, 1999, Vol. 164, No. 231, p. 13 ✓	
		Viglioti, L., "Bringing Efficiency to the Syndication Marketplace", The Secured Lender Nov./Dec. 2000, Vol. 56, No. 6, pp. 128-134 ✓	

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. \_\_, filed \_\_, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]